

Dear Assistance Agreement Recipient:

Congratulations on the award of your assistance agreement with the U.S. Environmental Protection Agency (EPA), Region 2. As a reminder, this assistance agreement is a legal document between EPA and your organization regarding approved funding, project period, budget, and workplan. As such, you are required to comply with all applicable provisions of 40 CFR Chapter 1, Subchapter B, including but not limited to the provisions of 40 CFR Part 30 ("Grants and Agreements with Institutions of Higher Education, Hospitals, and other nonprofit organizations").

In order to assist you in the administration of your agreement, I am enclosing two documents. The first is a checklist that outlines what you need to do from receipt of the award document to closeout of the agreement after the project ends. I encourage you to read the EPA grant regulations in conjunction with the checklist, as well as the Terms and Conditions of your assistance agreement. The second document is our grant guidelines. This document provides additional information to assist you in managing your agreement.

We look forward to a successful project. If any questions about the grant requirements arise as you implement your project, please feel free to contact me at _____.

Sincerely,

Grants Specialist

EPA REGION 2 GRANTEE CHECKLIST

Please note that the assistance agreement document represents the legal agreement between EPA and you as the grantee regarding approved funding, project period, budget, and workplan. The approved assistance agreement includes the agreement document and the approved application documents incorporated by reference, as noted in the “Offer and Acceptance” block in Part IV of the agreement document.

UPON RECEIPT OF ASSISTANCE AGREEMENT:

- ☐ Check the Federal dollar amount awarded
- ☐ Check the required non-Federal matching share
- ☐ Check the project and budget periods
- ☐ Check the approved object class budget category amounts (Part II, Table A in the agreement document)
- ☐ Check all terms and conditions included

ON AN ONGOING BASIS:

- ☐ Establish and maintain financial management and recordkeeping systems
- ☐ Discuss any project changes with the EPA Project Officer; if changes are deemed necessary, request them in writing to the Project Officer with a copy to the Grants Management Specialist.
- ☐ Comply with all terms and conditions included in the agreement document

PERIODICALLY, AS REQUIRED:

- ☐ Request payment (Standard Form 270, “Request for Advance or Reimbursement”)
- ☐ Submit Progress Report on time (as often as, and in the format, required by condition or regulations)

Performance reports should contain the following:

- S** comparison of actual accomplishments with the specific goals and objectives stated for the time period in the approved agreement;
- S** reasons why the goals were not met, if applicable; and,
- S** other pertinent information, including, if applicable, analysis and explanation of any cost overruns or rebudgeting needs.

A copy of any physical deliverables (e.g., training documents, conference agendas, tapes) required under the agreement should be enclosed with the first report following the date the deliverable was due to be produced. Deliverables that will be publicly disseminated should include the following statement:

“Although the information in this document has been funded wholly or in part by the United States Environmental Protection Agency under assistance agreement No. _____ to (recipient), it may not necessarily reflect the views of the Agency and no official endorsement should be inferred.”

- ☐ Submit the “MBE/WBE Utilization Under Federal Grants, Cooperative Agreements, and Interagency Agreements” form (quarterly to Grants and Contracts Management Branch)
- ☐ Submit the Financial Status Report (annually, or as required by terms and conditions in agreement, to the Grants and Contracts Management Branch)
- ☐ Have an audit performed (annually, if required). A recipient who expends more than \$300,000 annually in Federal funds is required to have an independent audit performed in accordance with Office of Management and Budget (OMB) Circular A-133.
- ☐ If equipment purchase is an approved budget item, perform inventory of equipment (once every two years, or more often if required)

ACCORDING TO THE TIME PERIOD SPECIFIED IN THE AGREEMENT TERMS AND CONDITIONS:

- ☐ If project extension is needed, submit written request for extension, if applicable and if it can be justified

WITHIN 90 DAYS AFTER PROJECT’S END:

- ☐ Submit Final Project Report, and any other reports required under the agreement, to the Project Officer, or submit written extension request(s) for submitting the report(s).
- ☐ Liquidate all obligations incurred under the award, or request an extension from the Grants and Contracts Management Branch, providing a justification and target date.
- ☐ Submit Final Financial Status Report to the Grants and Contracts Management Branch (unless an extension for liquidating obligations has been granted; in that case, submit Interim Financial Status Report and subsequently submit Final Financial Status Report by the date granted in the extension).

REGION 2 GRANT GUIDELINES

FINANCIAL MANAGEMENT/REPORTING

Advance Method of Payment

[Include "A" or "B" below in this guidance, as applicable.]

A. Awards of \$5,000 or less

Your organization is authorized to receive advance payments under the agreement. Cash payments are requested by completing Standard Form 270, "Request for Advance or Reimbursement" and submitting this form to the EPA Grants and Contracts Management Branch. The initial request may be submitted along with the formal acceptance of the grant agreement. Requests for payments shall be submitted in whole dollar amounts and shall not exceed 80% of the amount awarded under the agreement. The remaining 20% shall be requested along with submission of the Final Project Report and the Final Financial Status Report.

B. Awards of more than \$5,000

In accordance with EPA regulations, your organization is authorized to receive advance payments under the agreement, provided that action is taken to minimize the time elapsing between the transfer of funds from EPA and the disbursement of those funds. Payments are requested by completing Standard Form 270, (SF-270, "Request for Advance or Reimbursement") and submitting this form to the EPA Grants and Contracts Management Branch.

The initial SF-270 may be submitted along with the formal acceptance of this grant agreement. Subsequent requests shall be submitted at least quarterly but not more than monthly and shall indicate expenditures to-date as well as the recipient's request for funds for upcoming periods. Requests shall be made in whole dollar amounts. Negative payment requests, which report project expenditures, must be submitted every 90 calendar days even if the recipient does not request additional funds. There are no waivers for this reporting requirement.

If funds advanced for a specified period (i.e., first quarter) have not been disbursed within 90 days of issuance, the grantee must provide EPA with a narrative explanation as to why the funds have not yet been disbursed, along with its submission of the next quarterly payment request. Failure to comply with this condition may result in EPA issuing a Bill for Collection to recover the unexpended funds or the recipient's method of payment shall be converted from advance to reimbursement.

Advance payments shall not exceed 80% of the amount awarded under the agreement. The remaining 20% shall be requested along with submission of the Final Project Report and Final Financial Status Report.

Reimbursement Method of Payment

[Include in this guidance if applicable.]

Recipients utilizing the reimbursement method payment must request Federal payments by completing Standard Form 270, "Request for Advance or Reimbursement" and submitting it to the EPA Grants and Contract Management Branch. Requests for reimbursement should be submitted on a quarterly basis. However, if the recipient incurs more than \$500 in costs in a given month a request for reimbursement may be submitted to the EPA Grants and Contract Management Branch on a monthly basis. The requests will report cumulative expenditures both (Federal and Non-Federal) incurred under the grant. Such expenditures should be reported in whole dollar amounts. EPA will make payments for allowable expenditures at the ratio shown in the latest Agreement.

Prior Costs

In accordance with 40 C.F.R. §30.25(f)(1), you may charge pre-award costs (both Federal and non-Federal matching shares) incurred up to 90 days prior to the actual award date provided that such costs were contained in the approved application.

Interim Financial Status Reports

[Include in this guidance if the project's performance period is more than 18 months]

An Interim Financial Status Report (FSR) is to be submitted to the EPA Grants and Contracts Management Branch 90 days after the anniversary of the date of award. The FSR must be prepared in whole dollar amounts.

Final Financial Status Report and Closeout of the Agreement

In accordance with 40 C.F.R. 30.52(a)(1)(iv), submit to the EPA, Region 2, Grants and Contracts Management Branch a "final" Financial Status Report (FSR) within 90 days after the end of the Project/Budget Periods. Final FSRs must be prepared in whole dollar amounts.

EPA may extend the due date for submission of a final FSR upon a written request from the recipient. The recipient is required to submit an "interim" FSR to the EPA Region 2 Grants and Contracts Management Branch, along with this request.

The Administrative Closeout Phase for the grant will be initiated with the submission of a "final" FSR. At that time, the recipient must submit the following forms/reports to the EPA Region 2 Grants and Contracts Management Branch if applicable.

- Federally Owned Property Report
- An Inventory of all Property Acquired with federal funds
- Final Request for Payment (Standard Form 270)

- Contractor's or Grantee's Invention Disclosure Report (EPA Form 3340-3)

PROJECT MANAGEMENT/REPORTING

[Include, in this section of the guidance, the information below, as well as any other appropriate information that may be requested by the Project Officer; e.g., **Reporting Guidelines for Pollution Prevention Grants,**]

No-Cost Time Extension (Project/Budget Period Extension)

In accordance with 40 C.F.R. §30.25(f)(2), you are authorized, without EPA's approval, to extend the project and budget period expiration date(s) for up to 12 months as long as the extension:

- o is not prohibited by the terms and conditions of the award;
- o does not require additional Federal funds;
- o does not involve any change in the approved objective or scope of the project;
- o does not extend the project merely for the purpose of using an unobligated balance; or
- o is not precluded by a statute or regulation, or is authorized solely on the basis of terms set forth in the statutes.

If you choose this one-time extension, the recipient must submit a written justification and the revised expiration date to EPA at least 10 days before the expiration date of the award document. The submission must be in writing and should be submitted to the EPA, Grants and Contracts Management Branch.

If an extension is not necessary, please submit a final FSR to the EPA, Grants and Contracts Management Branch within 90 days after the project period expiration date.

Publications

EPA encourages the publication of the results of its assistance programs. However, before an assistance recipient may publish these results as an EPA product, it must comply with EPA's publication review process. The following steps must be completed:

- A. The recipient submits three copies of the material it intends to publish to the EPA Project Officer.
- B. EPA reviews the material and provides the recipient in writing, with any changes it wishes to suggest.
- C. The recipient prepares a revised draft. In so doing, the recipient should make every effort to accommodate the suggestion provided by EPA review.
- D. If EPA agrees that the material is appropriate for publication as an EPA document,

the recipient must include the following statement:

The information in this document has been funded wholly or in part by the United States Environmental Protection Agency under assistance agreement (number) to (recipient.) It has gone through the Agency's publication review process and has been accepted as an EPA document. Mention of trade names or commercial products does not constitute endorsement or recommendation of use.

- E. If EPA does not agree that the material is appropriate as an EPA document, the recipient may publish the material for its own use if it includes with the published material the following statement:

Although the information in this document has been funded wholly or in part by the United States Environmental Protection Agency under assistance agreement (number) to (recipient), it may not necessarily reflect the view of the Agency and no official endorsement should be inferred.

- F. EPA also encourages recipients to publish reports independently in refereed journals at any time. (A refereed journal is one which subjects material to review by a panel of experts before publication.) In order to do so, recipients must meet the following requirements:
1. Submit a copy of the material to be published to the EPA Project Officer at the time it is submitted to the journal for publication.
 2. After publication, submit three copies of the published material to the EPA Project Officer.
 3. Include the following statement in the published material: Although the information in this document has been funded wholly or in part by the United States Environmental Protection Agency under assistance agreement (number) to (recipient), it has not gone through the Agency's publications review process and therefore, may not reflect the views of the Agency and no official endorsement should be inferred.
- G. The above disclaimer, (F3) must appear in any materials or work products produced as a result of this assistance agreement that have not gone through the Agency's publication review process.
- H. In accordance with 40 CFR 30.36, the Federal Government has an unrestricted right to use any data or information generated using assistance funds or specified to be delivered to EPA in the assistance agreement. The Federal Government has a royalty-free, nonexclusive, and irrevocable license to use any copyrighted data in any manner for Federal Government purposes.